

15866 U.S. PTO  
040104

## BARNES & THORNBURG

600 One Summit Square  
Fort Wayne, Indiana 46802  
(260) 423-9440  
Fax: (260) 424-8316

### PATENT APPLICATION IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

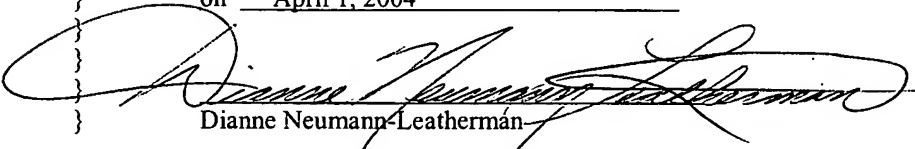
Customer No.: 23641  
Attorney  
Docket No.: 26893/82699  
Inventors: Dieter S. Gaubatz, et al.  
Title: SYSTEM AND METHOD  
FOR EVALUATING  
PREFERRED RISK  
DEFINITIONS

#### Certificate Under 37 CFR 1.10

Express Mail Label No. EV 329 805 745 US

I hereby certify that this correspondence is being deposited with the United States Postal Service's "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and is addressed to: Mail Stop Patent Application, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450

on April 1, 2004

  
Dianne Neumann-Leatherman

### UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

1. ☒ **Fee Transmittal Form (e.g., PTO/SB/17)**  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ **Specification** [Total Pages 26 ]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ **Drawing(s) (35 U.S.C. 113)** [Total Sheets 4 ]
5. ☒ **Oath or Declaration** [Total Pages 4 ]
  - a. ☒ **Informal**
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76
7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)

8. ☐ Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

#### ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure ☐ Copies of IDS Citations  
Statement (IDS)/PTO-1149
13. ☐ Preliminary Amendment
14. ☒ **Return Receipt Postcard (MPEP 503)**  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request Under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ **Other:** Check in the amount of \$1,496.00

17497 U.S. PTO  
10/816120  
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18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation      ☐ Divisional      ☐ Continuation-in-part (CIP)      of prior application No.: \_\_\_\_/\_\_\_\_

Prior application information: Examiner: \_\_\_\_\_

Group/Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPLICATIONS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

  
Bobby B. Gillenwater  
Reg. No. 31,105

Date: April 1, 2004

Send Fees and Completed Form to:

Mail Stop Patent Application  
Commissioner of Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

FWDS01 BBG 179866\_1  
Rev. (08/03)

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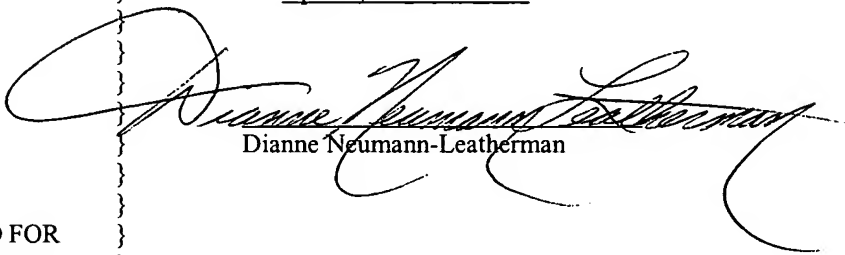
Filing Date: April 1, 2004

Group Art  
Unit: Unknown

Examiner  
Name: Unknown

on April 1, 2004

Attorney  
Docket No.: 26893/82699

  
Dianne Neumann-Leatherman

Inventors: Dieter S. Gaubatz et al.

Title: SYSTEM AND METHOD FOR  
EVALUATING PREFERRED  
RISK DEFINITIONS

**FEE TRANSMITTAL FOR FY 2004**

**TOTAL AMOUNT OF PAYMENT: \$ 1,496.00**

**METHOD OF PAYMENT**

1. ☒ The Commissioner is hereby authorized to charge any additional fee required  
under 37 CFR 1.16 and 1.17 and credit any overpayments to:

**Deposit Account Number: 02-1010 (26893/82699)**

**Deposit Account Name: Barnes & Thornburg**

- ☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ **Check**      ☐ Credit Card      ☐ Money Order      ☐ Other ☐ None

## FEE CALCULATION

### 1. Basic Filing Fee:

Large Fee Code	Entity Fee	Small Fee Code	Entity Fee	Fee Description	Fee Paid
1001	\$770.00	2001	\$385.00	Utility Filing Fee	770.00
1002	\$340.00	2002	\$170.00	Design Filing Fee	
1007	\$340.00	2007	\$170.00	Design Filing Fee (CPA)	
1003	\$530.00	2003	\$265.00	Plant Filing Fee	
1004	\$770.00	2004	\$385.00	Reissue Filing Fee	
1005	\$160.00	2005	\$80.00	Provisional Filing Fee	
				SUBTOTAL (1)	770.00

### 2. Extra Claim Fees:

			Extra Claims		Fee from Below	Fee Paid
Total Claims	46	-20**=	26	x	18.00	468.00
Independent Claims	6	- 3**=	3	x	86.00	258.00
Multiple Dependent Claim						0.00
					SUBTOTAL (2)	726.00

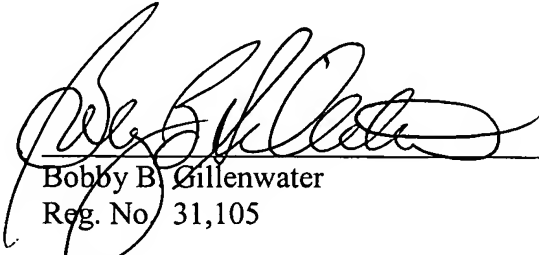
Large Fee Code	Entity Fee	Small Fee Code	Entity Fee	Fee Description
1202	\$18.00	2202	\$9.00	Claims in excess of 20
1201	\$86.00	2201	\$43.00	Independent claims in excess of 3
1203	\$290.00	2203	\$145.00	Multiple dependent claims, if not paid
1204	\$86.00	2204	\$43.00	** Reissue independent claims over original patent
1205	\$18.00	2205	\$9.00	** Reissue claims in excess of 20 and over original patent

\*\* or number previously paid, if greater; For Reissues, see above. For multiple dependent claims, pay fee only once no matter how many multiple dependent claims you have.

### 3. Additional Fees:

Large Fee Code	Entity Fee	Small Fee Code	Entity Fee	Fee Description	Fee Paid
1051	\$130.00	2051	\$65.00	Surcharge - late filing fee or oath	
1052	\$50.00	2052	\$25.00	Surcharge - late provisional filing fee or cover sheet	
1053	\$130.00	1053	\$130.00	Non-English specification	
1812	\$2,520.00	1812	\$2,520.00	For filing a request for ex parte reexamination	
1804	\$920.00*	1804	\$920.00*	Requesting publication of SIR prior to Examiner action	
1805	\$1,840.00*	1805	\$1,840.00*	Requesting publication of SIR after to Examiner action	

1251	\$110.00	2251	\$55.00	Extension for reply within first month	
1252	\$420.00	2252	\$210.00	Extension for reply within second month	
1253	\$950.00	2253	\$475.00	Extension for reply within third month	
1254	\$1,480.00	2254	\$740.00	Extension for reply within fourth month	
1255	\$2,010.00	2255	\$1,005.00	Extension for reply within fifth month	
1401	\$330.00	2401	\$165.00	Notice of Appeal	
1402	\$330.00	2402	\$165.00	Filing a brief in support of an appeal	
1403	\$290.00	2403	\$145.00	Request for oral hearing	
1451	\$1,510.00	1451	\$1,510.00	Petition to institute a public use proceeding	
1452	\$110.00	2452	\$55.00	Petition to revive - unavoidable	
1453	\$1,330.00	2453	\$665.00	Petition to revive - unintentional	
1501	\$1,330.00	2501	\$665.00	Utility issue fee	
1502	\$480.00	2502	\$240.00	Design issue fee	
1503	\$640.00	2503	\$320.00	Plant issue fee	
1504	\$300.00	1504	\$300.00	Publication Fee for early, voluntary, or normal Publication	
1460	\$130.00	1460	\$130.00	Petitions to the Commissioner	
1807	\$50.00	1807	\$50.00	Processing fee for provisional applications	
1806	\$180.00	1806	\$180.00	Submission of Information Disclosure Statement	
8021	\$40.00	8021	\$40.00	Recording each patent assignment per property (times number of properties)	
1809	\$770.00	2809	\$385.00	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	\$770.00	2810	\$385.00	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	\$770.00	2801	\$385.00	Request for Continued Examination (RCE)	
1802	\$900.00	1802	\$900.00	Request for expedited examination of a design application	
Other fee (specify): _____					
*Reduced by Basic Filing Fee Paid				SUBTOTAL (3)	0.00

  
 Bobby B. Gillenwater  
 Reg. No. 31,105

Date: April 1, 2004

FWDS01 BBG 179865

(Rev. 10/03)